

Implementing New Race/Ethnicity Standards in IPEDS

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Final Guidance from U.S. Department of Education

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Race/ethnicity

- Final guidance on Maintaining, Collecting, and Reporting Racial and Ethnic Data to the U.S. Department of Education
 - Published in Federal Register 10/19/07
 - For implementing 1997 OMB standards
 - Link from IPEDS R/E webpage



Final guidance

- Calls for implementation by Fall 2010, in order to report data for the 2010-11 academic year
- Institutions already collecting R/E in new format may begin reporting in 2008-09 IPEDS



Final guidance

- Covers 2 separate issues:
 - **Collection** of R/E data by institutions
 - **Reporting** of aggregate data to US Dept of ED



Collection by institutions

- Two-question format REQUIRED:
 1. Is respondent Hispanic or Latino? Y/N
 2. Respondent selects one or more races:
 - American Indian or Alaska Native
 - Asian
 - Black or African American
 - Native Hawaiian or Other Pacific Islander
 - White



2-question format

- Ethnicity question must come first
- Race selection question must read “one or more” instead of “all that apply”
- One example is available at http://nces.ed.gov/statprog/2002/std1_5.asp



Also...

- A person who answers Yes to Hispanic should also answer the race question, even though that person will be reported to IPEDS as Hispanic



Subcategories

- Subcategories of Hispanic or any of the race categories MAY be presented to individuals
- There is no official list of subcategories



Refusals

- For postsecondary institutions, presenting the data collection form to students and staff is sufficient to ensure that individuals have had an opportunity to respond
- Individuals may NOT be given the following options:
 - Refusal
 - None of the above
 - Other



Self-identification...

- Standards call for self-identification of race/ethnicity
- Dept of ED encourages institutions to allow current students and staff to re-identify their race and ethnicity



Detail data

- You will be collecting much detail data that you will not report to IPEDS, but the final guidance is clear that you need to collect the race and ethnicity data using the 2-part question, and you need to retain that detail in your data systems



Reporting aggregate data

- Hispanics of any race

For non-Hispanics only:

- American Indian or Alaska Native
 - Asian
 - Black or African American
 - Native Hawaiian or Other Pacific Islander
 - White
 - 2 or more races
-
- Nonresident aliens
 - Race and ethnicity unknown

Comparison of Collection & Reporting

Collection categories (n=6)

- Hispanic or Latino
- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White

Reporting categories (n=9)

- Hispanic or Latino
- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White
- Two or more races
- Nonresident alien
- Race and ethnicity unknown



Also...

- If a respondent does not answer the Hispanic question but does answer the race question, report that person using the race categories that were selected (which by default assumes a No response to the Hispanic question)
- Report as Race and Ethnicity Unknown:
 - Individuals who leave both questions unanswered
 - Individuals who respond No to Hispanic, but do not select a race



R/E Technical Review Panel

- IPEDS R/E TRP in fall 2006 discussed implementation issues, such as:
 - How should reporting be phased in?
 - If students are no longer at the institution, how to report? (C, E12, GRS)
 - If data are collected in 2 formats for several years, how to release?



Implementation schedule

- 2008-09 and 2009-10
 - Optional years
- 2010-11
 - Mandatory year for EF, HR
 - 3rd optional year for C, E12, GRS
- 2011-12
 - Mandatory for all components



Optional year options available

- Institutions have option to report:
 - All individuals using new categories
 - All individuals using old categories
 - Mixed reporting
 - Anticipate that few institutions will choose this method = most complex
- Reporting method may differ by component



Screening Question

- Which method of reporting race and ethnicity will you use for this component?



☑ New race/ethnicity categories (9 categories):

- Nonresident alien
- Hispanic/Latino
- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White
- Two or more races
- Race and ethnicity unknown
- Notes:
 - Report Hispanic/Latino individuals of any race as Hispanic/Latino
 - Report race for non-Hispanic/Latino individuals only
 - American Indian or Alaska Native, Asian, Black or African American, Native Hawaiian or Other Pacific Islander, White, Two or more races



☑ Old race/ethnicity categories (7 categories):

- Nonresident alien
- Black, non-Hispanic
- American Indian/Alaska Native
- Asian/Pacific Islander
- Hispanic
- White, non-Hispanic
- Race and ethnicity unknown

☑ Mixture of new and old race/ethnicity categories (all 14 categories will show on each screen):

NEW:

- Hispanic/Latino
- American Indian or Alaska Native
- Asian
- Black or African American
- Native Hawaiian or Other Pacific Islander
- White
- Two or more races
- Notes:
 - Report Hispanic/Latino individuals of any race as Hispanic/Latino.
 - Report race for non-Hispanic/Latino individuals only.
 - American Indian or Alaska Native, Asian, Black or African American, Native Hawaiian or Other Pacific Islander, White, Two or more races

OLD:

- Black, non-Hispanic
- American Indian/Alaska Native
- Asian/Pacific Islander
- Hispanic
- White, non-Hispanic

Categories used in BOTH New and Old:

- Nonresident alien
- Race and ethnicity unknown

Implementation timeline

	<i>HR, EF</i>	<i>C, E12, GRS</i>
2008-09, 2009-10	Old New Mixed	Old New Mixed
2010-11	New ONLY	Old New Mixed
2011-12	New ONLY	New ONLY

R/E Reporting Method Use:

	New	Old	Mixed
C & E12	16%	78%	6%

As of 10/9, with about 75% of surveys submitted



Data Release

- College Navigator
 - Show only selected R/E categories for comparability
- PAS
 - Navigator categories
 - Raw data + flag



Data Release

- DFR and ExPT
 - New categories when available
 - Navigator categories during mixed years
- DAS and First Look pubs
 - Navigator categories



Questions for institutions

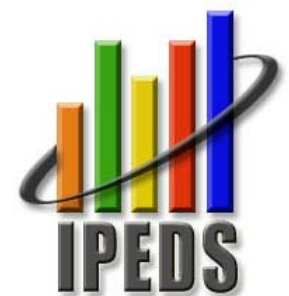
- Categories needed for collection
- Aggregation for reporting to IPEDS
- Data storage, file maintenance, updating
- Re-surveying
- Mapping or bridging

IPEDS R/E webpage

- Icon from home page
- Documents and information
- FAQs
- Links
 - To AIR R/E website
 - To SHEEO R/E website



Implementing New IPEDS Race/Ethnicity Standards in Postsecondary Institutions



Topics

- Planning & Communication
- Data Collection
- Data Storage
- Reporting
- Timing
- Resources & Discussion



Planning and Communication

Planning & Communication

- Start Now!
- Involve everyone: IR, IT, Admissions (all levels), Registrar (all levels), Financial Aid, Athletics, Alumni, HR, Affirmative Action, General Counsel, Public Relations, and others
- Solicit campus leadership support
- Build support into the budget (e.g., re-surveying and IT costs)



Planning & Communication

- Review systems: Student and HR as well as business flows (including paper and electronic forms)
- Itemize tasks
 - Technical revisions
 - Institutional business flows/processes for data collection
 - Mapping/Re-Surveying
 - Reporting
- Identify a project leader and build cross-functional teams



Planning & Communication

Project Leader Tasks

- Coordinate/liaison with work teams
- Develop overall implementation calendar
- Develop training materials in consultation with teams
- Develop an educational campaign in conjunction with Public Relations

Planning & Communication Issues

- Identify all **internal** processes for *collecting* R/E data, including schools/departments, non-credit, HR
 - Applications/inquiries from new students & employees
 - Personal data updates from continuing students & employees (e.g., portal)
 - Paper & online

Determine lead time for each (e.g., 1.5 years in advance for paper-based admissions)

Planning & Communication Issues

- Identify all external organizations that provide R/E data & impact timing of data collection
 - Sources of admissions data
 - Undergraduate admissions (e.g., Common App, Universal College Application, CollegeNET, ETS)
 - Graduate/professional admissions (e.g., CollegeNET, LSAC, AMCAS)
 - Inquiry for job applicants (e.g., Hodes iQ)

Planning & Communication Issues

- Identify computer systems that impact timing of data *storage*
 - Data systems for student and HR - whether vendor or homegrown (make sure version that supports new R/E gets installed in time)
 - Integration of stand-alone systems with student and HR systems (e.g., if Financial Aid system loads R/E data from student system)—make sure all will convert at same time or develop plan to map old codes to new or vice versa during transition

Planning & Communication Issues

- Identify computer programs that produce *reports/exports/online display*
 - Reports/exports for federal & state governments (e.g., state may mandate that all in state transition at same time)
 - Reports/exports for other organizations (e.g., CDS, guidebooks & *U.S. News*, regional & professional accrediting associations, grad/professional organizations, Student Clearinghouse, recruiters)
 - Reports for internal use and online display of R/E — LOTS

Planning & Communication Issues

- Discuss whether to *map* from existing to new (not doing so means all continuing students and employees will be “Unknown” unless re-survey)
- Discuss whether to *re-survey* (not re-surveying means under-reporting of Hawaiian/Pacific Islander, & multiple races but may increase costs)
- Discuss logistics of re-surveying
 - Special one-time survey? (Note: “stop-outs” will not be surveyed)
 - As part of the registration process?
 - As part of an alumni survey?
 - As part of time-sheet/productivity reporting?

Planning & Communication Issues

- Decide when to migrate (may be driven by timing of external organizations)
- Monitor resources for how to implement (NCES and AIR Web sites)
- Understand distinction between collection, storage, & reporting (e.g., 6 categories for collection & storage, 9 for reporting)

Data Collection

Data Collection

- Identify all places where R/E information is entered into individuals' records
 - Admissions
 - Academic Departments
 - Registration (credit/non-credit; all levels)
 - Human Resources
 - File uploads from outside sources - identify all sources
 - *WHO ARE WE MISSING?*
- Identify all paper/electronic forms that need to be revised
- Develop workflows for the R/E data collection from current students/staff

Data Collection

- Target populations for capturing R/E information
 - New students
 - New faculty/staff
 - Continuing students
 - Current faculty/staff
 - Returning students
 - Part-time temporary faculty
 - Prior GRS entering cohorts
- Applications/New Hire Forms
- Mapping and/or Re-Surveying?

Collection Decisions

- Chance to re-engineer
 - Start collecting online
 - Implement new process to update continuing
 - Create mouseover/link to official definitions
- Determine level of detail (sub-categories or just binary)
- Determine whether to collect R/E from international



Collection Decisions

- Collection point (application &/or enrollment/new hire)
- Method of collection (online &/or paper)
- How/when to modify online forms (e.g., applications, bio updates)

Collection Decisions

- Whether to pre-populate by mapping from old to new categories
- Whether to re-survey continuing students &/or employees
- Whether to map AND re-survey
- If external organizations that provide data (e.g., admissions) migrate before or after your institution does, determine how to map values from their system to your system

Data Storage

Storage Decisions

- Whether use vendor administrative system or homegrown system, determine
 - how & when new R/E will be supported
 - how that version can be installed in time
 - back-up plan in case it's not ready
- How to ensure consistency of values & timing across systems, especially if different vendors
- Add new R/E fields in database to handle at least 64 R/E combinations (suggest 6 fields) plus Nonresident Alien field

Storage Decisions

- Decide if store as binary vs. detailed codes
- Decide if format should be logical vs. alpha
- Decide if use a 7th field to store institutional “reporting value” for each student/employee to simplify reporting & online display of R/E
- How to keep old R/E data (Dept. of Ed. requires keeping 3+ years)
- How to keep old R/E for prior GRS cohorts until future cohorts provide new R/E at admission
- Mapping strategy

Cross-walk to Map Current to New (Reduces “Unknown”)

Current	New
“Hispanic”	“Hispanic”
“American Indian or Alaskan Native”	“American Indian or Alaska Native”
“Black, non-Hispanic”	“Black or African American”
“White, non-Hispanic”	“White”
“Asian or Pacific Islander”*	“Asian*”
“Unknown”	“Unknown”

**“Native Hawaiian or Other Pacific Islander” incorrectly assumed to be “Asian”*

Reporting

Reporting Decisions

- Update computer programs for reports, exports, & online display of R/E
- IPEDS: EF & HR first year; C, E12 & GRS following year
- GRS: Use cross-walk to map old R/E codes for prior-year cohorts; do *not* overwrite mapped R/E codes with re-surveyed data (or grad. rates for new R/E categories will be inflated because early drop-outs & graduates are not in these categories)

Reporting Issues

- Problems with Trends
 - Hawaiian/Other Pacific Islander is new category (taken out of Asian)
 - Two or More Races is new category
 - Hispanic will probably increase
 - American Indian/Alaska Native, Black, Asian, & White (single race) will probably go down (some will move into “2 or more” or “Hispanic” or “Hawaiian/Other Pacific Islander”)



Reporting Issues

- Non-comparable peer data during transition (due to different methods of re-surveying, mapping, different timing, creative interpretation of regulations)
- Good practice: analyze data for students and employees for whom you have both old and new R/E codes to differentiate changes in your institution's trends that are due to new codes from those that are due to real changes in the R/E of your students/employees

Reporting Issues

- For *non-IPEDS* reporting, consider alternatives to IPEDS categories for some internal purposes:
 - IPEDS without Non-Resident Alien: distribute international students in their R/E category
 - Maximum approach: count # selecting each category regardless of other categories selected (causes duplicated totals)—e.g., for lists of students to invite to function for black students
 - Min./Max.: report both Min. (# who select only that category) and Max. (see above)

Reporting Issues

Other alternatives for *non-IPEDS* reporting

- Trumping rules: determine single category to report for each combination of R/E categories (e.g., Hisp & any race(s)=Hisp, Black & any other race(s)=Black, etc.)
- 100% solution: report Hispanic (Y/N) separately from races (5 single plus "2 or more"), each totaling 100%

Timing

Possible Timeline for Transition in 2010

- 2008 (almost over)
 - Meetings, planning, & initial IT work
- 2009
 - Paper applications for 2010 printed in spring (1.5 years in advance; alternatively use old form & re-survey new students)
 - Modify online application & bio update systems & forms
 - Modify programs that read data from outside sources (may also need temporary mappings)
 - Modify database (in time to store new R/E from applications)
 - Begin modifying report programs

Possible Timeline for Transition in 2010

- 2011-2012
 - Map R/E for students in the GRS cohort (do *not* overwrite with new data from re-surveying) & report GRS with new codes
 - Start reporting C & E12 with new codes (prior FY students)

Resources & Discussion

AIR Resources

- Web site (<http://www.airweb.org/raceethnicity.html>) developed by AIR Research Fellow, Peggye Cohen which includes:
 - Webinars
 - Changes to Race/Ethnicity Reporting in IPEDS, by Jan Plotczyk
 - Implementing New IPEDS Race/Ethnicity Standards in Postsecondary Institutions, by members of AIR R/E task force
 - Presentations, Papers, and More
 - Links to relevant sites
 - Race/Ethnicity FAQ
 - Race/Ethnicity BLOG

Other Resources

- AIR IPEDS Training Web site
- IPEDS Race/Ethnicity Info Center
(<http://nces.ed.gov/IPEDS/reic/resource.asp>)
- SHEEO website
(<http://www.sheeo.org/ipeds/race-eth-home.htm>)
- IPEDS Help Desk
- Just to name a few...

Questions??

